

Please type a plus sign (+) inside this box →



PTO/SB/05 (1/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-1838

First Inventor or Application Identifier: Shunpei YAMAZAKI et al.

Title: SEMICONDUCTOR DEVICE, METHOD OF FABRICATING  
SAME, AND, ELECTROOPTICAL DEVICE

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification Total Pages [15]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets [3]
4. ☒ Oath or Declaration Total Pages [2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a  
copy of the oath or declaration is supplied under Box 4b,  
is considered to be part of the disclosure of the  
accompanying application and is hereby incorporated by  
reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement ☐ Copies of IDS  
(IDS)/PTO-1449 Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ \*Small Entity ☐ Statement filed in prior application,  
Statement(s) Status still proper and desired  
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other:

\*A new statement is required to be entitled to pay small entity fees,  
except where one has been filed in a prior application and is being  
relied upon.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
- ☒ Divisional of prior application Serial No. 08/962,840, filed November 3, 1997; which itself is a continuation  
of Serial No. 08/575,355, filed December 20, 1995, now abandoned.

Prior application information: Examiner: R. Booth Group/Art Unit: 1107

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name: Gerald J. Ferguson, Jr.  
Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.  
Address: 2010 Corporate Ridge, Suite 600  
City: McLean State: VA  
Country: U.S.A. Telephone (703) 790-9110

Zip Code: 22102  
FAX (703) 883-0370

Name: Gerald J. Ferguson, Jr.

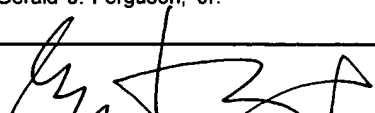
Registration No. 23,016

Signature

Date: July 17, 1998

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL		Complete If Known					
		Application Number					
		Filing Date		July 16, 1998			
		First Named Inventor		Shunpei YAMAZAKI et al.			
		Examiner Name		R. Booth			
Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.		Group Art Unit		1107			
TOTAL AMOUNT OF PAYMENT		(\$)790.00		Attorney Docket Number			
				0756-1838			
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)					
		3. ADDITIONAL FEES					
		Large Entity		Small Entity			
1. [X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No. 19-2380 Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC  [X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  [ ] Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance		Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	205	65	Surcharge-late filing fee or oath	
		127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Ext for reply within first month	
		116	400	216	200	Ext for reply within second mth	
		117	950	217	475	Ext for reply within third mth	
		118	1,510	218	755	Ext for reply within fourth mth	
		128	2,060	228	1,030	Ext for reply within fifth month	
		119	310	219	155	Notice of Appeal	
		120	310	220	155	Filing brief in support of appeal	
		121	270	221	135	Request for Oral Hearing	
		138	1,510	138	1,510	Petition to institute public use proceeding	
		140	110	240	55	Petition to revive-unavoidable	
		141	1,320	241	660	Petition to revive-unintentional	
		142	1,320	242	660	Utility issue fee (or reissue)	
		143	450	243	225	Design issue fee	
		144	670	244	335	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Petitions related to provisional applications	
		126	240	126	240	Submission of IDS	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	
		146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	
						Other _____	
						Other _____	
						*Reduced by Basic Filing Fee Paid	
SUBTOTAL (1)			\$790.00			SUBTOTAL (3)	\$
2. EXTRA CLAIM FEES		Extra Claims Fee from Below		Fee Paid			
Total Claims 10 - 20** = 0 X _____ = _____							
Independent Claims 3 - 3** = 0 X _____ = _____							
Multiple Dependent Claims _____ = _____							
**or number previously paid, if greater, For Reissues, see below							
Large Entity Small Entity							
Fee Fee Fee Fee	Fee Description						
Code (\$) Code (\$) Code (\$) Code (\$)							
103 22 203 11	Claims in excess of 20						
102 82 202 41	Independent claims in excess of 3						
104 270 204 135	Multiple dependent claim						
109 82 209 41	**Reissue independent claims over original patent						
110 22 210 11	**Reissue claims in excess of 20 and over original patent						
SUBTOTAL (2)		- 0 -					
SUBMITTED BY		Complete (if applicable)					
Typed or Printed Name		Gerald J. Ferguson, Jr.		Reg. Number		23,016	
Signature				Date		July 17, 1998	
				Deposit Account		19-2380	
				User ID			

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.